

Quality Control Plan – North Region Environmental

Introduction

This section of the Quality Management Plan addresses the milestones, elements, and tools utilized by Environmental Management to assist in a quality Ready to List (RTL)/Plans, Specifications, and Estimates (PS&E) package.

Flowchart

A Quality Control Plan flowchart for North Region Environmental has been developed to include the key milestones and corresponding elements and tools, which Environmental utilizes to accomplish project delivery leading to RTL. The contents of the flowchart are described below.

Project Initiation Document Phase

During the Project Initiation Document (**PID**) Phase, preliminary environmental

studies begin when the Design Unit submits the Environmental Study Request (**ESR**)¹. The kick-off Project Development Team (**PDT**) meeting is an important tool to assist environmental staff in becoming familiar with the initial project scope and team members.

A Preliminary Environmental Analysis Report (**PEAR**) is a key milestone and assists in anticipating the probable environmental impacts, mitigation, studies and documentation required to satisfy State and Federal regulations and laws. The PEAR recommends possible changes to reduce project impacts. The Hazardous Waste Unit also conducts an Initial Site Assessment (**ISA**) to determine possible hazardous waste issues within the project area. A Preliminary Site Investigation (**PSI**) may be necessary if the project is at higher risk for encountering hazardous waste issues. The hazardous waste preliminary assessment will be identified in the PEAR.

In this phase, the tools² utilized are identified in the PEAR and include estimates of staff resource hours, mitigation costs, and milestones.

Project Approval/Environmental Document Phase

During the Project

Approval/Environmental Document (**PA/ED**) Phase, another ESR is submitted by the Design Unit, which provides a refined project scope. This scope should be of sufficient detail to perform the environmental studies needed to determine the environmental impact of the project and the preparation of the Environmental Document (**ED**). A critical aspect of the ESR is accurate mapping and project scope (refer to the ESR Directive signed by Kome Ajise, dated February 20, 2004), which provides guidance and procedures for the ESR

¹ The ESR serves multiple purposes throughout project delivery.

² Many of the tools described can be located at <http://www.dot.ca.gov/ser>.

contents/attachments. The milestones necessary to move forward with project delivery are the Draft Environmental Document (**DED**) and final **ED**, or the completed Categorical Exclusion (**CE**). The elements of completing either an ED or CE (excluded from developing an ED for public circulation) include conducting studies/assessment, resource agency coordination, document preparation, peer review, functional review, FHWA approval, and public circulation.

In this phase, the tools utilized include the North Region Environmental Document Quality Control Plan for **IS/EAs** and **EIS/EIRs** (included in this section). This Plan involves steps to ensure the quality of the final document. The EIS Review Procedures Flowchart (also included in this section) identifies the critical steps necessary to ensure completion and quality of the ED. The Standard Environmental Reference (**SER**) provides statutory and regulatory requirements for environmental documents and technical studies, as well as procedures for processing environmental documentation for both local assistance and Caltrans projects. The SER sets forth document content and format, as required by law or regulation, and recommended format, if not specified by law or regulation.

Design Phase

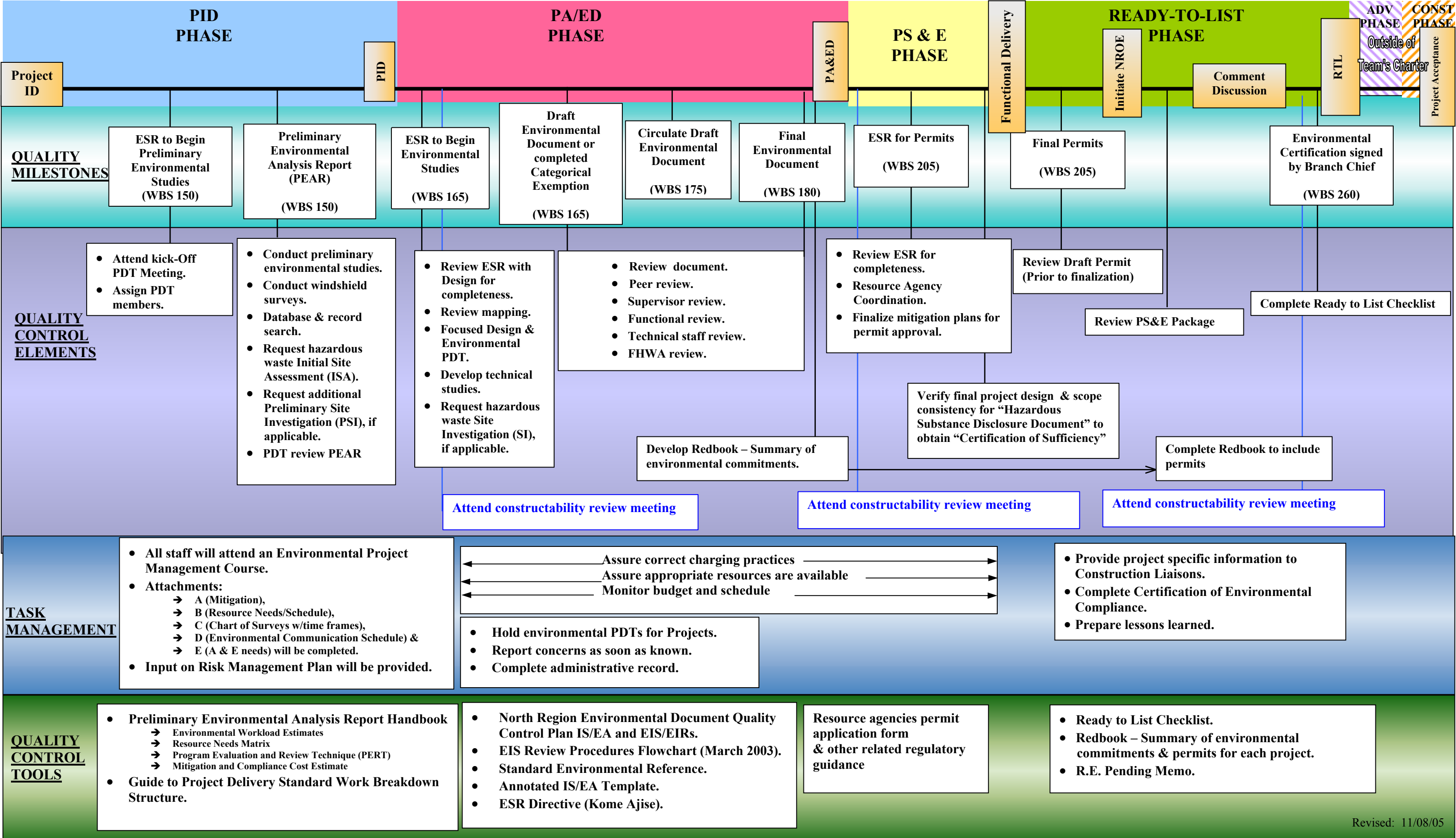
During the Design Phase, the Design Unit will submit an ESR for permits, if applicable to the project. The ESR and accompanied information is reviewed for completeness prior to submittal to the resource/permitting agency. Final mitigation plans are developed during this phase. Permit applications are completed and submitted to applicable resource agencies for review.

The project scope is reviewed and verified for final project design so that the Hazardous Substance Disclosure Document can be completed by Hazardous Waste Unit for Certification of Sufficiency.

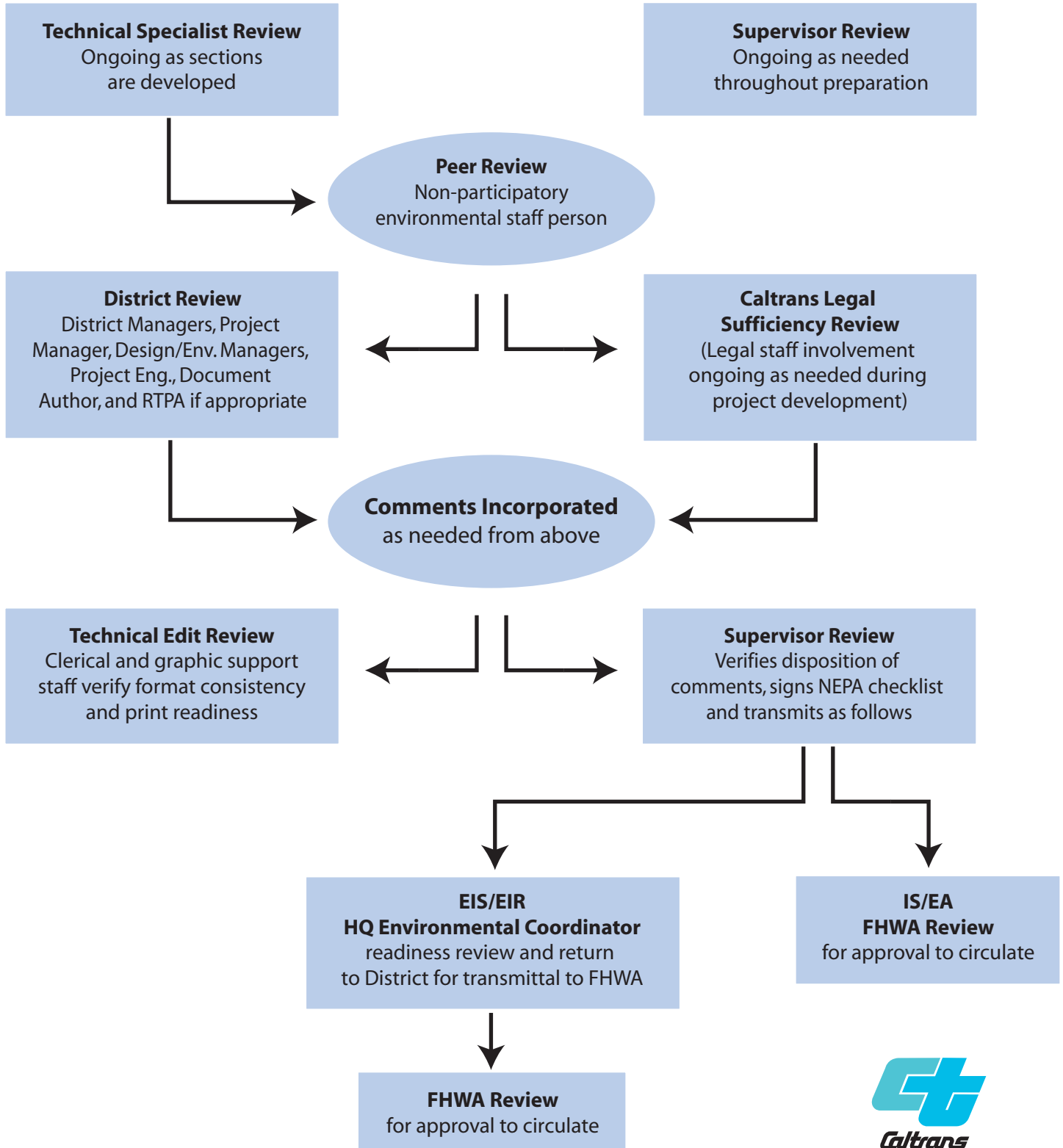
Ready to List

During the RTL Phase, functional units will review the draft permit(s) for accurate project scope and conditions and the Project Manager will sign the final permit(s) along with the resource agency signature. When the PS&E package is circulated for functional review, all environmental commitments, mitigation, and monitoring requirements will be reviewed to ensure they are contained within the package.

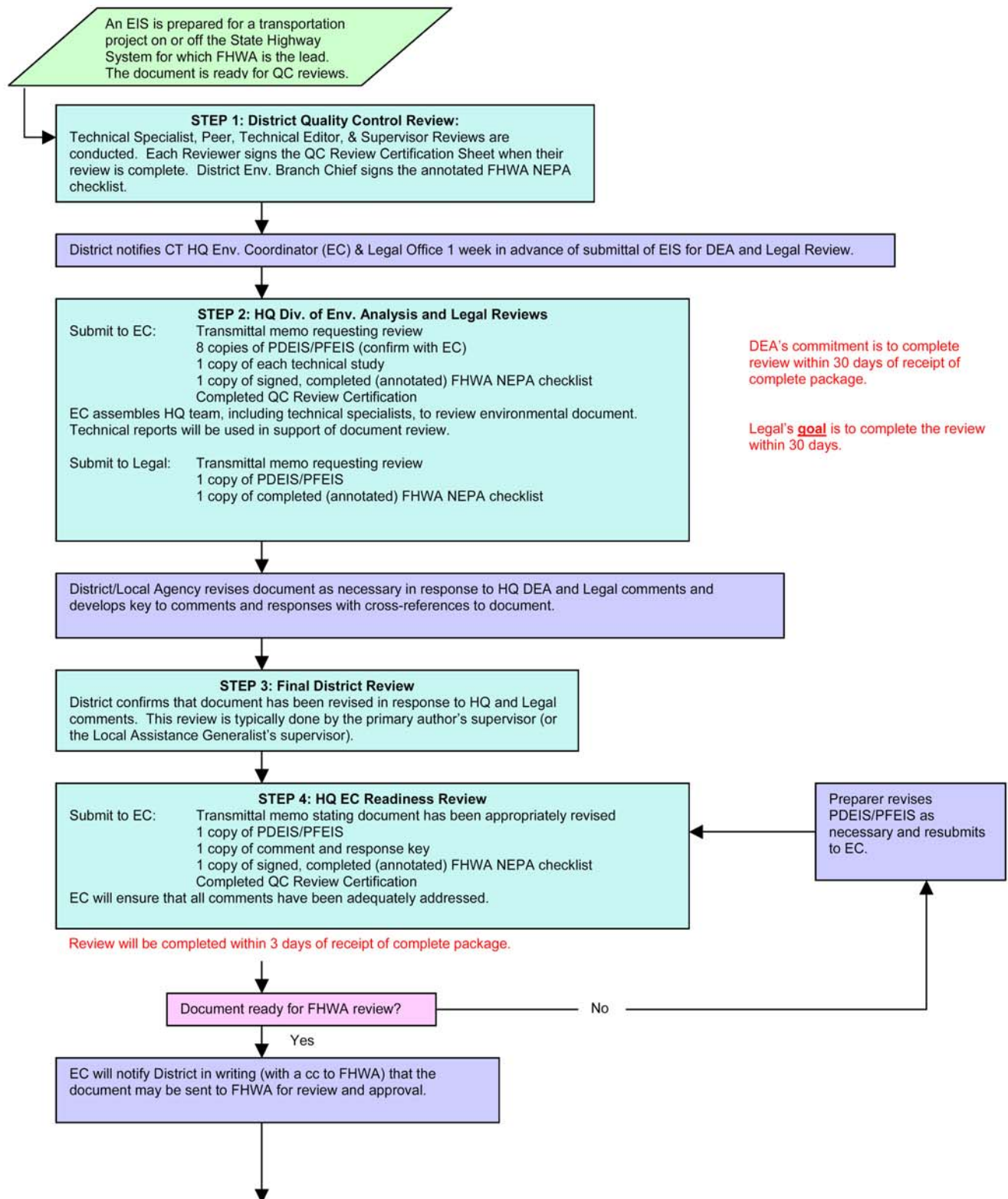
In this phase, the tools utilized include the Ready to List Checklist (included in this section) which assists in the completion of the Environmental Certification (included in this section) and is signed by the Environmental Branch Chief. The Environmental Certification is a required element of the RTL certification and verifies that environmental commitments, mitigation and permits are complete and are included in the project PS&E. Other tools include the “Redbook”, a summary of environmental commitments and permits for each project, or the Resident Engineer (**RE**) Pending Memo for less complex projects.



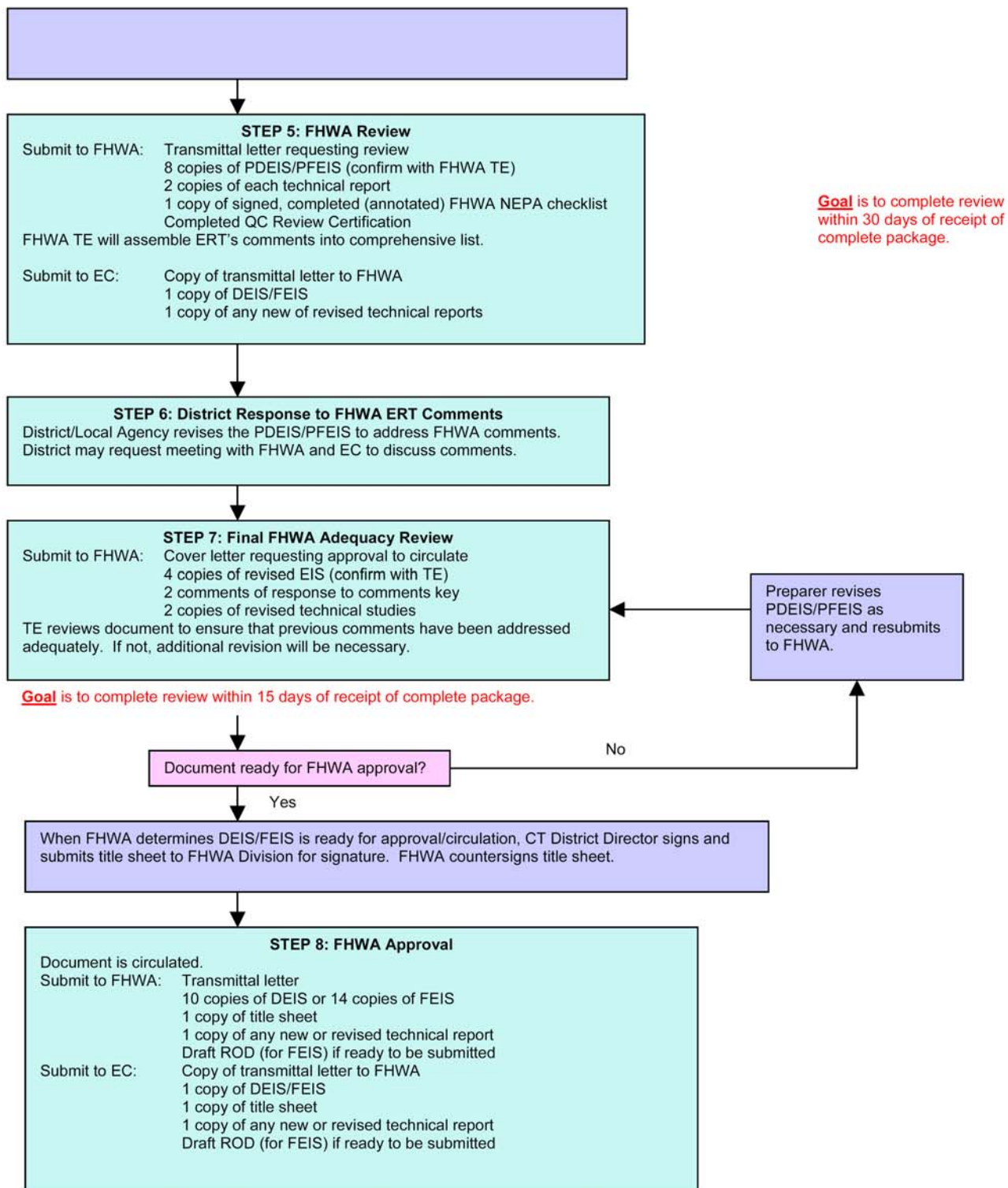
NORTH REGION ENVIRONMENTAL DOCUMENT QUALITY CONTROL PLAN IS/EAs and EIS/EIRs



Revised EIS Review Procedures March 2003



Revised EIS Review Procedures March 2003



Memorandum

*Flex your power!
Be energy efficient!*

To: DISTRICT DIRECTORS
DEPUTY DISTRICT DIRECTORS
Environmental Analysis, Design,
Project Management, Construction
DIVISION CHIEFS
Engineering Services, Design,
Project Management, Construction

Date: June 21, 2004

From: 
GARY R. WINTERS
Chief
Division of Environmental Analysis

Subject: Environmental Certification

On May 3, 2004, John McMillan, Division of Engineering Services sent out the new Office Engineer's RTL Guide which defines state, federal and policy requirements for PS&E and Construction Contract Advertisement and Award. The new guidelines' RTL Certification Form now requires an Environmental Certification (memo and forms attached).

The Environmental Certification was developed to ensure environmental commitments are properly incorporated into PS&E, construction contracts, and activities on the ground. The Certification is intended to assist the Department in meeting project specific environmental commitments made in project environmental documents, agency consultations, and permit negotiations.

By signing the Environmental Certification form the Environmental Office Chief:

- Certifies that all environmental commitments that belong in the project PS&E are included;
- Certifies that all actions in the PS&E are covered in the approved environmental documentation and that the documentation remains valid for the project as defined by the PS&E;
- Identifies the environmental document type and date plus the outcome of any necessary environmental re-evaluation;
- Lists environmental permits and agreements for the project;
- Identifies whether environmental construction windows are necessary for the project.

DISTRICT DIRECTORS, et al
May 21, 2004
Page 2

Environmental Certification will be implemented simultaneously with implementation of the new RTL Guide and RTL Certification. The Environmental Certification Form **must** be signed before RTL Certification can be completed.

To assist districts in reviewing PS&E packages for Environmental Certification, a review checklist has been developed for your use (attached). The checklist is designed to remind planners of typical items in the PS&E that need to be reviewed against environmental commitments from the environmental document, agency consultations, permits, or other agreements.

If you have any questions about Environmental Certification, the PS&E Review checklist, or their use, please contact me, or call Cindy Adams at (916) 653-5157.

Attachments

c: DEA Office Chiefs
 DEA Coordinators
 Environmental Program Supervisors and Seniors Statewide
 District Office Engineers

M e m o r a n d u m*Flex your power!
Be energy efficient!*

To: DISTRICT DIRECTORS
DEPUTY DISTRICT DIRECTORS
Project Management, Design, Construction, Right of Way,
Maintenance and Operations, Environmental Analysis,
Local Assistance
DIVISION CHIEFS
Engineering Services, Transportation Planning, Administration,
Accounting, Budgets, Design, Construction, Right of Way,
Maintenance and Operations, Environmental Analysis, Local Assistance

Date: May 3, 2004

From: JOHN C. McMILLAN *JCM*
Deputy Division Chief
Division of Engineering Services - Office Engineer

Subject: Distribution and Implementation of Ready To List and Construction Contract Award Guide (RTL Guide)

The first edition of the Division of Engineering Services - Office Engineer's RTL Guide is ready for use. The RTL Guide defines state, federal and policy requirements for Plans, Specification and Estimate (PS&E) preparation, and Construction Contract Advertisement and Award. Districts and Divisions should distribute this document to staff responsible for production of PS&E, project funding and preparation of contract documents. Phased implementation will begin May 10, 2004. After full implementation, the RTL Guide will supersede the PS&E Guide.

Phase implementation will be as follows:

<u>May 10, 2004</u>	References used for preparation of PS&E will switch from the PS&E Guide to the RTL Guide.
<u>July 1, 2004</u>	Districts to begin submitting projects to DES-OE using the new Cover memorandum and RTL Certification process.
<u>October 1, 2004</u>	Districts will submit all projects to DES-OE in accordance with the RTL Guide.

Due to budgetary constraints, the RTL Guide will be published in electronic format only. (http://www.dot.ca.gov/hq/esc/oe/specifications/rtl_guide) Districts and Divisions are responsible for reproducing and distributing their own hard copies.

DES-OE will provide training and assistance on RTL Guide requirements upon request. Please contact Brian Lee at (916) 227-6270 or by e-mail.

cc: District Office Engineers
Fardad Falakfarsa, Chief, Office of Federal Resources
DES Executive Management

Ready to List (RTL) Certification Form

Draft (No.)1	
Final (✓)	

1 Project Identification:	District-Co.-Rte.-KP:	Primary/Combined EA:
	FHWA (State Authorized/Full Oversight)	Secondary EA:
RTL Certification		
2 Right of Way:	<i>All right of way clearance, utility, and railroad work has been completed or all necessary arrangements have been made as required for proper coordination with the construction schedules. (23CFR635)</i> <i>Project has "R/W Certification" for advertisement when one of the following Certifications has been checked.</i>	
	<input type="checkbox"/> 2a Cert. 1 All property has been acquired. <input type="checkbox"/> 2b Cert. 2 All property has been acquired and/or the State has the right to occupy or use. <input type="checkbox"/> 2c Cert. 3W Right of way process is in order, but acquisition or Orders for Possession will not be completed until __/__/__. A work around has been approved to avoid unanticipated owner-caused delays. <input type="checkbox"/> 2d Cert. 3 Right of way process is in order, but acquisition or Orders for Possession will not be completed until __/__/__. Project cannot bid open until certified at the 1, 2, or 3W Level.	
	<i>Project has railroad facility and Railroad Clearance when the following box has been checked.</i> <input type="checkbox"/> 2e Railroad Clearance Required: Company: _____ Date: _____ Amount: _____ Construction & Maintenance Agreement/Service Contract No. _____	
3 Environmental:	<i>PS&E fulfills environmental documents requirements. (23CFR771 and Title 13 PRC § 21000 et seq.)</i> <input type="checkbox"/> 3a Environmental Certification is attached and dated __/__/__.	
4 Design:	<i>The Department shall determine the kind, quality, and extent of all highway work done under its control, and may prepare and approve all plans, specifications, and estimates for all such work. (S&HC 137).</i> <i>Project has "Design Standard Approval" when one of the following boxes is checked.</i>	
	<input type="checkbox"/> 4a Design equals or exceeds minimum mandatory and advisory standards <input type="checkbox"/> 4b Design does not equal or exceed minimum mandatory and/or advisory standards and has approved exceptions for nonstandard features. Date of FHWA approval if project is full oversight: __/__/__ <input type="checkbox"/> 4c Project has "Statewide Design Policy Compliance" when the following applicable boxes are checked.	
	<input type="checkbox"/> A+B Bidding Policy Exception required and included. (Guidelines for Use of A + B Bidding Provisions) <input type="checkbox"/> Buy America "Foreign Material" Waiver required and included. (23 CRR 635.410) <input type="checkbox"/> Constructability Reviews Compliance: (Guidance on Constructability Reviews) <input type="checkbox"/> Cross-section Policy Exception required and included. (Guidance on Creation of Cross Sections) <input type="checkbox"/> Experimental or Research Design Features included: Design approved and work-plan funded. (Guidelines for Construction Evaluated Experimental Feature Program) <input type="checkbox"/> Hazardous Waste identified and cleanup completed or project has an exception to include cleanup in the work. (PDPM CH. 18) <input type="checkbox"/> High/Low Risk Utilities Policy Certification. (Policy on High and Low Risk Underground Facilities) <input type="checkbox"/> Information Handouts required and included. (SSP S5-280, "Project Information") <input type="checkbox"/> Pedestrian Facilities involved and comply. (DIB-82) <input type="checkbox"/> Storm Water Data Report updated and approved on __/__/__. (Storm Water Quality Handbook)	
	<input type="checkbox"/> 4d Project has serious or critical water shortage and a water source commitment when the following applicable boxes are checked.	
	<input type="checkbox"/> Water source has provided written commitment to supply water for construction of the project. <input type="checkbox"/> Water source has provided written commitment for new planting and irrigation work.	
	<input type="checkbox"/> 4e Project requires Agency Agreement(s).	
	1st Agency: _____ Issue Date: _____ \$ Amount: _____	2nd Agency: _____ Issue Date: _____ \$ Amount: _____
	3rd Agency: _____ Issue Date: _____ \$ Amount: _____	
5 FHWA Approval	<i>Project requires and has appropriate FHWA approval when one of the following boxes is checked.</i> <input type="checkbox"/> Project meets all Federal requirements pursuant to stewardship and delegation agreements (PDPM Chapter 2, Section 7). <input type="checkbox"/> Public Interest Finding (PIF) Approval – Project includes items that require and have FHWA approval.	
6 Plans, Specifications, & Estimate:	<i>Plans, Specifications, & Estimates are full, complete, and accurate. (PCC 10120)</i> <i>Project is "Draft Contract Ready" when all of the following boxes are checked.</i>	
	<input type="checkbox"/> 6a Plans prescribe the details for completion of the work, including details for items not covered by the Standard Plans. <input type="checkbox"/> 6b Plans conform to Plans Preparation Manual. <input type="checkbox"/> 6c Specifications prescribe the details for the construction, completion, and payment of the work. <input type="checkbox"/> 6d Specifications conform to Specification Preparation Guidelines. <input type="checkbox"/> 6e Estimates submitted in Basic Engineering Estimating System (BEES). <input type="checkbox"/> 6f Estimates prescribe all the details for the construction, completion, and payment of the work.	

RTL Certified by:	
Project Engineer	Date
RTL Approved by:	
Design Engineer or Manager	Date

Affix or attach registration seal here.

1. Projects submitted with draft RTL Certification will not be assigned until:
- District PS&E is complete or
 - District Project Manager has an approved Concurrent Processing Service Agreement.

ENVIRONMENTAL CERTIFICATION

DISTRICT-COUNTY-ROUTE-KP _____ EA _____

A. Environmental Documentation:

- NEPA Document type: _____ Date Approved: _____
- CEQA Document type: _____ Date Approved: _____
- NEPA CE _____ PCE _____ Date Determined: _____
- CEQA CE _____ Date Determined: _____
- FHWA Re-evaluation Consultation: _____ Date: _____
- Written Re-Evaluation: Yes _____ No _____ Date Approved: _____

B. All environmental commitments that belong in this PS&E are included.

C. All actions in this PS&E are covered by the approved environmental documentation, which remains valid.

D. List of permits & agreements:

Agency	Type	Issue Date	Expiration Date
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-----	-----	-----	-----
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E. Environmental Construction Window(s) Apply: _____ Yes _____ No

Signature - Environmental Office Chief

Date

Changes to this PS&E submittal shall be discussed with the signature authority and may require an updated environmental certification.

This project may be advertised with contract award at any time. A certification update is required if this project is shelved for more than twelve months.

PLANS, SPECIFICATIONS AND ESTIMATES (PS&E) / READY TO LIST REVIEW TOOL

Specifications	Yes	No	Not Applicable
Work windows / hours correctly identified for:			
Sensitive Species			
Clearing and Grubbing			
Community Impacts			
NPDES			
Other			
Check "Maintaining Traffic" specification. Does it comply with community impacts assessment and ED?			
Check areas for contractor's use, including borrow, fill and staging areas. Do they match ED?			
Check "Order of Work" section. Are potential conflicts with other environmental or construction contracts identified?			
Monitoring Specifications included for:			
Sensitive species			
Cultural sites (including Native American concerns)			
Paleontology			
Permits and Approvals Identified and Referenced			
Biological and Permit-related SSPs and NSSPs included			
Plant and/or duff salvage			
Preventative netting, fencing, etc.			
Work Windows			
Water Pollution Control / Erosion Control in compliance with ED			
Check the WPCP or SWMP language			
Check erosion control seed mixes for potential conflicts with biological concerns.			
ESA specification included			
Check also temporary fence specification			
Hazardous waste / material handling specification included			
Environmental document type identified and referenced			
Check the funding sources identified to make sure the ED type (fed / state v. state-only) is still correct			
If project is a landscaping project, check irrigation, seed mix, and plant establishment specifications. Do they match the ED?			
Check color treatment and textural treatment for fences, walls, dikes and structures. Do they match the ED?			
Check "sound control requirements." Do they comply with community impact assessment and other documents?			

Plans	Yes	No	Not Applicable
Do the project limits on Index Sheet of plans match project limits from the ED? Check both begin and end construction as well as begin and end work.			
On the project layout sheets: 1. Are the ESAs correctly depicted on the plans? 2. Check the general locations of walls, culvert and other structures. Do they match what was described in the ED? 3. Do the limits of cut and fill slopes match the limits shown in the ED? 4. Have all construction easements/construction access been assessed in the ED? 5. If borrow, fill, or staging areas are shown, do they match the ED?			
Check the Typical Cross Section sheets. Do the dimensions match what was stated in the ED?			
Check the layouts, typical cross sections and profiles for changes in the vertical and/or horizontal alignment of the roadway. Are there changes in the alignment that necessitate a revised noise analysis?			
Check Water Pollution Control Plans, are the BMPs shown in compliance with environmental commitments? Check for conflicts with ESAs.			
If project is a landscaping project, does the plant list match what was described in the ED? Are there any conflicts with biological or NPDES concerns?			
Check irrigation, utilities and electrical plans. Is all the work, including areas of trenching, within the project limits described in the ED? Have all the areas of ground disturbance been evaluated for potential impacts to cultural and paleontological resources? Hazardous waste / materials?			
Structures Plans 1. Check the profile and typical cross-section sheets. Do the dimensions of the structures match the ED? 2. Is the drainage for bridge structures in compliance with the ED? (Is water treated before discharge?)			
Are all the project features shown on the layout, electrical and signage plans in compliance with the ED? (e.g. CCTVs, maintenance pull-outs, CMSs, ramp meters)			
Check location of rip-rap or other drainage features on the drainage plan sheets and/or the layout sheets. Are the locations in compliance with the ED?			
Check construction detail sheets for items such as median barriers, guard rail, etc. Are they in compliance with the ED?			
Check detour plans. Are vehicular, pedestrian and bicycle access addressed as applicable?			
Check construction staging plans. Are they consistent with ED and CIA requirements?			
Are there separate grading plans? If so, do the grading limits and contours match the ED?			

Estimate	Yes	No	Not Applicable
<p>Are environmental mitigation costs included in the BEES (Engineers Estimate)? (If you are not given a copy, check with the PE or PM for the project.) Some items to look for include:</p> <ol style="list-style-type: none"> 1. Highway Planting 2. Erosion Control 3. Plant Establishment 4. Fencing 5. Netting 6. Architectural treatments 7. Bridge or rail aesthetics 8. Monitoring costs 			

FOR READY TO LIST REVIEW--ENVIRONMENTAL DOCUMENT, PERMITS AND OTHER APPROVALS	Yes	No	Not Applicable
Environmental Document is Current and Does Not Need Reevaluation/Addendum			
Public Outreach Plan in Place			
CDFG 1601 Lake and Streambed Alteration Obtained			
Army Corps Section 404 Permit or Other Approval Obtained			
RWQCB Section 401 Water Quality Certification or Other Approval Obtained			
Coastal Development Permit or Other Coastal Approval Obtained			
USFWS Section 7 Biological Opinion or Other Approval Obtained			
NOAA Fisheries Section 7 Biological Opinion, EFH or Other Approval Obtained			
CDFG Incidental Take Permit or Other Approval Obtained			
Other Permits or Approvals (Specify: _____)			
Landscaping and Mitigation Site(s) Have Been or Will Be Programmed and Constructed			